



Substitute for form 1449B/P-10

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	1	of	1	Complete if Known
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Application Number	09/827,613
Filing Date	April 6, 2001
First Named Inventor	Sprung, Eric J.
Art Unit	2611
Examiner Name	Faile, Andrew I

Attorney Docket Number 018926-003140US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. ¹	Document Number Number Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
AND	AA	US-6,256,393 B1	07-03-2001	Safadi et al.	
	AB	US-			
	AC	US-			
	AD	US-			
	AE	US-			
	AF	US-			
	AG	US-			
	AH	US-			
	AI	US-			
	AJ	US-			

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ²
		Country Code ³	Number ⁴ Kind Code ⁵ (if known)				
	AK						<input type="checkbox"/>
	AL						<input type="checkbox"/>
	AM						<input type="checkbox"/>
	AN						<input type="checkbox"/>
	AO						<input type="checkbox"/>

NON PATENT LITERATURE DOCUMENTS					
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.			T ²
	AP				
	AQ				
	AR				
	AS				
	AT				

Examiner Signature		Date Considered	5/10/05
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.



Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete If Known	
Sheet 1		of 1	Application Number		09/827,613
			Filing Date		April 6, 2001
			First Named Inventor		Sprung, Eric J.
			Art Unit		2611
			Examiner Name		Faille, Andrew I
			Attorney Docket Number		018926-003140US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. ¹	Document Number Number Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
(M/M)	A1	US-5,912,972	06-15-1999	Barton	
	A2				

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code ³	Number ⁴ Kind Code ⁵ (if known)			
(M/M)	B1	EPO	EP 0 752 786 A	01-08-1997		
	B2	EPO	EP 0 946 019 A	09-29-1999		
	B3	EPO	EP 1 222 814 A	07-17-2001		
	B4	PCT	WO 98/33325 A2	07-30-1998		
	B5	PCT	WO 99/39504 A	08-05-1999		
	B6	PCT	WO 01/28232 A1	04-19-2001		

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Examiner Signature	<i>Walter R. R.</i>	Date Considered	5/10/05
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¹EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ²Applicant's unique citation designation number (optional). ³Kind Codes of U.S. Patent Documents at www.uspto.gov or MPEP 801.04. ⁴Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁵For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁶Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁷Applicant is to

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INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

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Sheet 1 of 1

Complete If Known

Application Number	09/827,613	RECEIVED
Filing Date	April 6, 2001	AUG 13 2002
First Named Inventor	Sprung, Eric J.	
Art Unit	2611	
Examiner Name		
Attorney Docket Number	018926-003140US	Technology Center 2600

U.S. PATENT DOCUMENTS

Examiner	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Kind Code ² (if known)			
WJD	AA	US-6,185,678 B1	02-06-2001	Arbaugh, et al.	
	AB	US-			
	AC	US-			
	AD	US-			
	AE	US-			
	AF	US-			
	AG	US-			
	AH	US-			
	AI	US-			
	AJ	US-			

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FOREIGN PATENT DOCUMENTS

Examiner Initials ³	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁴
		Country Code ³	Number ⁴ Kind Code ⁵ (if known)				
AK							
AL							
AM							
AN							

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials ³	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
WJD	AO	ARBAUGH, William A., et al., A Secure and Reliable Bootstrap Architecture, Proceedings of the IEEE, December 2, 1998, pp. 1-7.	
	AP		

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Mark R. R.

Date Considered

9/10/05

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

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of

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Complete If Known	
Application Number	09/827,613
Filing Date	April 6, 2001
First Named Inventor	Sprung, Eric J.
Group Art Unit	2611
Examiner Name	
Attorney Docket Number	018926-003140US

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
WPO	AA	5,857,020		Peterson, Jr.	01-05-1999	
	AB					
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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
WPO	AU	EP	0 601 500	A1	TestDrive Corp.	06-15-1994		
	AV	EP	0 878 796	A2	Kabushiki Kaisha Toshiba	11-18-1998		
	AW	PCT	WO 97/25798	A1	The Mitre Corp.	07-17-1997		
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	AY							
	AZ							
	BA							

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Date Considered

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Substitute for form 1449A/PTO

Complete if Known

Application Number	09/827,613
Filing Date	April 6, 2001
First Named Inventor	Sprunk, Eric J.
Group Art Unit	
Examiner Name	

Attorney Docket Number 018926-003140US

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

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Sheet 1 of 2

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
MR	AA	5,933,498		Schneck, et al.	08-03-1999	
	AB	6,314,409	82	Schneck, et al.	11-06-2001	
	AC					
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FOREIGN PATENT DOCUMENTS

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		Office ³	Number ⁴	Kind Code ⁵ (if known)				
AU								
AV								
AW								
AX								
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AZ								
BA								

Examiner Signature

Mark R M

Date Considered

5/10/05

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Sheet

2

of 2

Complete If Known

Application Number	09/827,613
Filing Date	April 6, 2001
First Named Inventor	Sprung, Eric J.
Group Art Unit	
Examiner Name	
Attorney Docket Number	018926-003140US



OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
MPJ	BC	GERALD HACKENBERG, <i>Computerviren: Vorbeugung und Bekämpfung</i> , 258 IT Informationstechnik, 32 (1990) Februar, no. 1, Siemens AG, München-	✓
	BD	English translation of above Cite No. BC	
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Examiner Signature		Date Considered	5/10/05
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STATEMENT BY APPLICANT

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Complete if Known

Application Number	09/827,613
Filing Date	April 6, 2001
First Named Inventor	Sprunk, Eric J.
Group Art Unit	2611
Examiner Name	

Attorney Docket Number 018926-003140US

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS		
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
WPA	BC	SCHNECK, PAUL B., <i>Persistent Access Control to Prevent Piracy of Digital Information</i> , Proceedings of the IEEE, Vol. 87, No. 7, July 1999, pp. 1239-1250.
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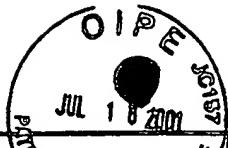
Examiner Signature	<i>Mark R. R.</i>	Date Considered	<i>9/10/05</i>
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H 2 S. W. U. 9/24/02

FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)			Attorney Docket No.: 18926-003140US	Application No.: 09/827,613		
			Applicant: Eric Sprunk			
			Filing April 6, 2001	Group: Unassigned		
Reference Designation U.S. PATENT DOCUMENTS Page 1						
Examiner Initial	Document No.	Date	Name	Class	Sub-class	Filing Date (If appropriate)
MM AA	5,844,986	12/1/98	Davis	380	4	RECEIVED Technology Center 2000 JUL 18 2001
AB	5,912,972	6/15/99	Barton	380	23	
AC	5,005,200	4/2/1991	Fischer	380	30	
AD	5,982,891	11/1999	Ginter et al.	380	4	
FOREIGN PATENT DOCUMENTS						
	Document No.	Date	Country	Class	Sub-class	Translation (Yes/No)
MD AE	EP 0 752 786 A1	08.01.1997	EPO	H04N	7/167	
AF	EP 0 909 094 A1	14-4/1999	EPO	H04N	7/173	
AG	EP 0 914 001 A1	06.05.1999	EPO	H04N	7/16	
AH	EP 0 936 813 A1	18.08.1999	EPO	H04N	7/00	
AI	EP 0 946 019 A1	29.09.1999	EPO	H04L	9/32	
AJ	WO 98/55910	10.12.98	WIPO	G06F		
AK	WO 98/56180	10.12.98	WIPO	H04N	7/167	
AL	WO 99/09743	25.02.99	WIPO	H04N	7/167	
AM	WO 99/30217	17.06.99	WIPO	G06F	1/00	
AN	WO 99/39504	05.08.99	WIPO	H04N	7/167	
AO	WO 99/53624	21.10.99	WIPO	H04B	1/69	
AP	WO 00/04727	27.01.00	WIPO	H04N	7/24	
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)						
MM AQ	Olin Sibert et al., "DigiBox: A Self-Protecting Container for Information Commerce," Proceedings of the First USENIX Workshop on Electronic Commerce, New York, July 1995.					
AR	InterTrust Technologies Corporation, "A Piece of the Tick. Supporting the Commercial Redistribution of Electronic Information through Value Chains," October 1998.					
AS	"Digital Consumer Electronics Handbook," McGraw-Hill, 1997, pp. 17.18-17.25.					
AT	"SentinelSuperPro," Rainbow Technologies. Retrieved from the Internet: http://sentinel.rainbow.com , pp. 1-2.					
AU	"iKey," Rainbow Technologies. Retrieved from the Internet: http://ikey.rainbow.com , pp. 1-2.					
AV	Monica Pawlan et al., "Signed Applets, Browsers, and File Access." Retrieved from the Internet: http://developer.java.sun.com/developer/technicalArticles/Security/Signed/index.html , April 1998.					
AW	Monica Pawlan, "Cryptography: The Ancient Art of Secret Messages." Retrieved from the Internet: http://developer.java.sun.com/developer/technicalArticles/Security/Crypto/index.html , Feb. 1998.					
AX	Monica Pawlan, "Is the Only Really Secure Computer a Disconnected Computer?" Retrieved from the Internet: http://developer.java.sun.com/developer/technicalArticles/Security/ReallySecure/index.html , Jan. 1998.					
AY	Microsoft Corporation, "Microsoft Authenticode Technology. Ensuring Accountability and Authenticity for Software Components on the Internet," Redmond, VA, Oct. 1996.					
AZ	"Modern Cable Television Technology: Video, Voice, and Data Communications," Morgan Kaufmann Publishers, Inc., San Francisco, CA, 1999, pp. 743-751.					
BA	Dan S. Wallach et al., "Extensible Security Architectures for Java," BNS Document ID XP-002101681, 1997, pp. 1-26.					
BB	Charles Crichton et al., "When to trust mobile objects: access control in the Jini™ Software System," BNS Document ID XP-002155686, 1999, pp. 116-125.					

FORM PTO-1449 (Modified)		Attorney Docket No.: 18926-003140US	Application No.: 09/827,613
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		Applicant: Eric Sprunk	
		Filing April 6, 2001	Group: Unassigned
MR BC	"Building a Foundation of Trust in the PC," The Trusted Computing Platform Alliance, pp. 1-7 January 2000.		
EXAMINER <i>Walter P. H.</i>	DATE CONSIDERED <i>5/16/05</i>		

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